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## Cantor Fitzgerald, L.P.



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JUL 28 2009

| To:             | USPTO                          |     |   |       | From: Laura Alto                  |  |  |  |  |  |
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| Fax:            | (571) 273-8300                 |     |   |       | Pages: 12 (including cover sheet) |  |  |  |  |  |
| Phone:          | (212) 294-8                    | 075 |   | Date: | July 28, 2009                     |  |  |  |  |  |
| Re:             | Response To Non-Compliant/Non- |     |   | CCI   |                                   |  |  |  |  |  |
| ne.             | Responsive Amendment           |     |   |       |                                   |  |  |  |  |  |
|                 |                                | FOF | RMAL CO   | MML   | INICATION                         |  |  |  |  |  |
| Applicants      |                                | :   | Alastair J. D. Beadle, et al.   |       |                                   |  |  |  |  |  |
| Application No. |                                | :   | 10/716,305  | •     | 6925                              |  |  |  |  |  |
| Filed           |                                | :   | November 18, 2003   |       |                                   |  |  |  |  |  |
| For             |                                | :   | SYSTEM AND METHOD FOR MANAGING<br>RELATIONSHIPS BETWEEN BROKERS AND<br>TRADERS USING A MESSAGING FORMAT |       |                                   |  |  |  |  |  |
| Group Art Unit  |                                | :   | 3691  |       |                                   |  |  |  |  |  |
| Examiner        |                                |     | Kellie L. Cam   | pbeli |                                   |  |  |  |  |  |

### Certificate of Transmission under 37 CFR 1.8

I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office on July 28, 2009, the items faxed herewith are:

1. Fee Transmittal (in duplicate) (2 pages);

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Laura Alto

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| FEE TRANSMITTAL   |  |                     |                              |  | Application Nul   |   | 10/716,305            |  |               |                  |
|   |  |                     |                              | Filing Date                                      |   | Novem                                   | ber 18, 2003          |  |               |                  |
| For FY 2009   |  |                     |                              |  | First Named In  | ventor                                  | Alastair J. D. Beadle |  | eadle         |                  |
| Applicant of  | claims small entit   | v status. S         | See 37 CFR 1,27              | <del>,                                    </del> | Examiner Nam  | θ                                       | Kellie L              | . Campl  | bell          |                  |
|   | · · · · · · · · · · · · · · · · · · ·  | `T.                 |                              |  | Art Unit  |   | 3691                  |  |               |                  |
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| FEE CALCUL  | ATION  |                     |                              |  |   | -                                       |                       |  |               |                  |
| 1. BASIC FILI   |  |                     | AMINATION F                  |  |   |   |                       |  |               | *****            |
|   | F  | LING FE             | ES<br>all Entity             | SEAR   | CH FEES Small Entity  | EXAM                                    | -                     | NFEES  | 3             |                  |
| <u>Application</u>  | <u>Тура Fe</u>   |                     |                              | Fee (\$)   |   | <u>Fee (</u>                            |                       | Entity<br>e (\$)                                 | <u>F</u> c    | cos Paid (\$)    |
| Utility   | 33   | 30 1                | 65                           | 540  | 270   | 220                                     |                       | 10   |               |                  |
| Design  | 2;   | 20 [                | 10                           | 100  | 50  | 140                                     | ,                     | 70   |               |                  |
| Plant   | 23   | 20 1                | 10                           | 330  | 165   | 170                                     | ;                     | 85   |               |                  |
| Reissuc.  | 33   | 30 į                | 65                           | 540  | 270   | 650                                     |                       | 25   |               |                  |
| Provisional   | 22   | 20 j                | 10                           | 0  | 0   | 0                                       | -                     | 0.   |               |                  |
| 2. EXCESS C   | LAIM FEES  |                     |                              |  | ·   |   |                       |  | Small I       | Entity           |
| Fee Description Fee (\$   |  |                     |                              |  |   |   | Fee (\$)              | Fee  | (\$)          |                  |
|   |  |                     |                              | -1   |   |   |                       | 52   |               | 6                |
| Multiple de   | Each independent claim over 3 (including Reissues) Multiple dependent claims   |                     |                              |  |   |   |                       | 220<br>390                                       | 11<br>19      |                  |
| Total Claims  | •  | a Claims            | Fee (\$)                     | Féal   | Paid (\$)   |   | B.A                   |  |               | _                |
|   | <u>بدمد.</u><br>= ۱۹۱۲ و 20  |                     | x = =                        | 1.55   | raio (a)  |   |                       | Multiple Dependent Claims Fee (\$) Fee Paid (\$) |               |                  |
|   | mber of total claims   | s paid for, if      | greater than 20.             |  |   |   | •                     |  | 1.0           | 8 1 8 G (V)      |
| Indep, Claims   | <u>Extr</u><br>3 or HP =   | a Claims            | Fee (\$)                     | Fee  | Paid (\$)   |   | _                     |  |               |                  |
|   |  | c<br>it claims pai: | K=<br>d for, if greater than | 1 3.   |   |   |                       |  |               |                  |
| 3. APPLICATION  | ON SIZE FEE  | -                   | ed 100 sheets                |  | er (excluding e   | loctronic                               | olly file             | ed seas  | 2D.CO O.F.C   | ommittee         |
| listings ur   | der 37 CFR 1.  | 52(e)), th          | c application si             | ize fee  | due is \$270 (\$  | 135 for :                               | small cr              | itity) for                                       | r each ad     | ditional 50      |
| listings under 37 CFR 1.52(e)), the application size fee due is \$270 (\$135 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). |  |                     |                              |  |   |   |                       |  |               |                  |
| Total Shee  | ta Extr  | a Sheets            | <u>Number c</u>              | of each  | <u>additional 50 or</u>   | <u>r fraction</u>                       |                       | <u>Fee</u>                                       | <u>? (\$)</u> | Fee Paid (\$)    |
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| ignature  | 166  | 24/                 |                              | (A   | egistration No.<br>ltomey/Agent) 50,561 Telephone (212) 294-773 |   |                       | 294-7733   |               |                  |
| lame (Print/Ty <del>pe)</del>   | Gien R. Farbani  | sh                  |                              |  |   |   |                       | Date Ju  | ly 28, 200    | 19               |

ame (Print/Type) Gien R. Farbanish This collection of information is required by 37 CFR 1.136. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, proparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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| 1  | Effective on 12,<br>the Consolidated Appl | /08/2004                |   | Complete if Known                     |             |                              |   |  |  |
|  | Application Nu                            | Application Number 10/7 |   | 16,305                                |             |                              |   |  |  |
| FEE  | Filing Date                               |                         |   | vember 18, 2003                       |             |                              |   |  |  |
| ı  | First Named In                            |                         |   | air J. D. Beadle                      |             |                              |   |  |  |
| Applicant of   | aims small entity st                      | atus See 37             | CED 1 27  | Examiner Nam                          |             | Keille L. Ca                 |   |  |  |
|  |   | F                       |   | Art Unit                              |             | 3691                         |   |  |  |
| TOTAL AMOUN  | T OF PAYMENT.                             | (\$)                    | 490.00  | Attorney Docks                        | et No.      | 03-6182                      |   |  |  |
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| For the at   | ove-identified depo                       | osit account, th        | ne Director is her                                | reby authorized to                    | o: (check   | all that apply               | )                                       |  |  |
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| √ Ch   | arge any additional                       | fee(s) or unde          | rpayments of fe                                   | 🗔                                     |             | rpayments                    | • · · · · · · · · · · · · · · · · · · · | or and                                     |  |
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| FEE CALCULA  |   |                         |   |                                       |             |                              |   |  |  |
| 1. BASIC FILEN   | IG, SEARCH, AN                            | ND EXAMINA<br>NG FEES   |   |                                       | -VAL        |                              |   |  |  |
|  |   | Small Entit             | <u>y</u><br>SEAR                                  | CH FEES<br>Small Entity               | EXAM        | INATION F<br><u>Small</u> En |   |  |  |
| Application T  |   | El <u>Fee (\$)</u>      | Fee (\$)  |                                       | Fee (       | \$) <u>Fee (\$</u>           |   | Fees Paid (\$)                             |  |
| Utility  | 330                                       | 165                     | 540   | 270                                   | 220         | 110                          |   |  |  |
| Design   | 220                                       | 110                     | 100   | 50                                    | 140         | 70                           |   |  |  |
| Plant  | 220                                       | 110                     | 330   | 165                                   | 170         | 85                           | _                                       |  |  |
| Reissue  | 330                                       | 165                     | 540   | 270                                   | 650         | 325                          |   | <u>·</u>                                   |  |
| Provisional  | 220                                       | 110                     | 0   | 0                                     | 0           | 0                            | ****                                    | •  |  |
| 2. EXCESS CL<br>Fee Description  |   |                         |   |                                       |             | Fee                          |   | I Entity                                   |  |
|  | ver 20 (including                         | g Reissues)             |   |                                       |             |                              | 2                                       | <u>e (\$)</u><br>26                        |  |
| Each indeper   | ndent claim over                          |                         | Reissues)   |                                       |             | 22                           |   | 10   |  |
|  | endent claims                             | _                       |   |                                       |             | 39                           | -                                       | 95   |  |
| Total Claims   | <u>Extra Ci</u><br>0 or HP =              |                         | <u>se (\$)                                   </u> | Paid (\$)                             |             |                              | pie Depende                             |  |  |
|  | ber of total claims pal                   | K K                     | han 20.   |                                       |             | Fee                          | ( <u>5)</u> -                           | ee Paid (\$)                               |  |
| Indep. Claims  | Extra C                                   |                         |   | Paid (\$)                             |             | -                            |   | <del></del> ]                              |  |
|  | or HP =<br>bor of independent cla         | alma paid for, if s     | =<br>reater than 3.                               |                                       |             |                              |   |  |  |
| HP = highest number of independent claims peld for, if greater than 3.  3. APPLICATION SIZE FEE  If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer |   |                         |   |                                       |             |                              |   |  |  |
| lt the specifica   | ition and drawing<br>ier 37 CFR 1.52(     | is exceed lu            | 0 sheets of pap                                   | er (excluding e                       | lectronic   | cally filed s                | equence or                              | computer                                   |  |
| sheets or fr   | action thereof. S                         | see 35 U.S.C            | 41(a)(1)(G) g                                     | and 37 CFR 1.1                        | ) ( 33 IOI  | sman entity                  | /) for each a                           | additional 50                              |  |
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| gnature  | 166./20                                   |                         | R<br>U  | Registration No.<br>Attorney/Agent) 5 | 0,561       | . Tel                        | lephone (212                            | ) 294-7733                                 |  |
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